



Please type a plus sign (+) inside this box → ☒

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0654-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

number.

## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	09/678,414
Filing Date	October 2, 2000
First Named Inventor	David W. Carlson
Group Art Unit	2823
Examiner Name	B. Kebede
Attorney Docket Number	100-13601 (P04797-C1)

Total Number of Pages in This Submission 18

### ENCLOSURES (check all that apply)

☒ Fee Transmittal Form (in duplicate)

☒ Fee Attached (check for \$168)

☐ Amendment/Response

☒ After Final (Response)

☐ Affidavits/declaration(s)

☐ Extension of Time Request

☐ Express Abandonment Request

☐ Information Disclosure Statement

☐ Certified Copy of Priority Document(s)

☐ Response to Missing Parts/Incomplete Application

☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

☐ Assignment Papers (for an Application)

☐ Drawing(s)

☐ Licensing-related Papers

☐ Petition Routing Slip (PTO/SB/69) and Accompanying Petition

☐ Petition to Convert to a Provisional Application

☐ Power of Attorney, Revocation Change of Correspondence Address

☐ Terminal Disclaimer

☐ Request for Refund

☐ CD, Number of CD(s) \_\_\_\_\_

☐ After Allowance Communication to Group

☐ Appeal Communication to Board of Appeals and Interferences

☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)

☐ Proprietary Information

☐ Status Inquiry

☒ Other Enclosure(s) (please identify below):

Return Receipt Postcard  
Certificate of Mailing

Remarks

Please charge any necessary fees or credit overpayment to Deposit Account No. 502305. A duplicate copy of this transmittal is attached for this purpose.

### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name

Mark C. Pickering, Reg. No. 36,239

Signature

*Mark C. Pickering*

Date

August 11, 2003

RECEIVED  
AUG 19 2003  
TECHNOLOGY CENTER 2800

### CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Mail Stop AF, Commissioner for Patents, Washington, D.C. 20231 on this date: August 11, 2003

Typed or printed name

Robin L. King

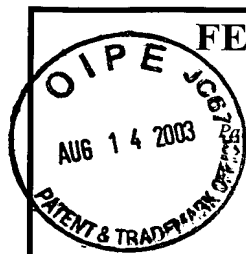
Signature

*Robin L. King*

Date

August 11, 2003

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



## FEE TRANSMITTAL

For FY 2003

Patent Fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

\$168

## Complete if Known

Application Number

09/678,414

Filing Date

October 2, 2000

First Named Inventor

David W. Carlson

Examiner Name

B. Kebede

Group Art Unit

2823

Attorney Document No.

100-13601 (P04297-800)

RECEIVED  
AUG 19 2003  
TECHNOLOGY CENTER 2800

## METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge any fees or credit any overpayment under 37 CFR 1.16 and 1.17 which may be required by this paper to Deposit Account No. 502305

LAW OFFICES OF MARK C. PICKERING

☐ Applicant claims small entity status. See 37 CFR 1.27.

2. ☒ Payment Enclosed:

☒ Check ☐ Money Order ☐ Other

## FEE CALCULATION

## 1. BASIC FILING FEE

LARGE ENTITY

SMALL ENTITY

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
1001	750	2001	375	Utility	
1002	330	2002	260	Design	
1003	520	2003	255	Plant	
1004	750	2004	375	Reissue	
1005	160	2005	80	Provisional	

SUBTOTAL (1) 0

## 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

	Extra Claims	Fee from below	Fee Paid
Total Claims 21 - 22 **	= 0	x 18	= \$ 0
Independent 5 - 3	= 2	x 84	= \$ 168
Multiple Dep.		*	= \$ 0

\*\* or number previously paid, if greater; for Reissues, see below:

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description
1202	18	2202	9	Claim in excess of 20
1201	84	2201	42	Independent claims in excess of 3
1203	280	2203	140	Multiple dependent claim, if not paid
1204	84	2204	42	** Reissue ind. claims over original patent
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) \$168

## FEE CALCULATION (continued)

## 3. Additional Fees

Large Entity

Small Entity

Fee Code

Fee

1051	130	2051	65	Surcharge - late filing fee or oath
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet
1053	130	1053	130	Non-English specification
1812	2520	1812	2520	For filing a request for ex parte reexamination
1804	920	1804	920	Requesting publication of SIR prior to Examiner action
1805	1840	1805	1840	Requesting publication of SIR after Examiner action
1251	110	2251	55	Extension for reply within first month
1252	410	2252	205	Extension for reply within second month
1253	930	2253	465	Extension for reply within third month
1254	1450	2254	725	Extension for reply within fourth month
1255	1970	2255	985	Extension for reply within fifth month
1401	320	2401	160	Notice of Appeal
1402	320	2402	160	Filing a brief in support of an appeal
1403	280	2403	140	Request for oral hearing
1451	1510	1451	1510	Petition to institute a public use proceeding
1452	110	2452	55	Petition to revive-unavoidable
1453	1300	2453	650	Petition to revive-unintentional
1501	1300	2501	650	Utility issue fee (or reissue)
1502	470	2502	235	Design issue fee
1503	630	2503	315	Plant issue fee
1460	130	1460	130	Petitions to the Commissioner
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)
1806	180	1806	180	Submission of Information Disclosure Stmt
8021	40	8021	40	Recording each patent assignment per property (times number of properties)
1809	750	2809	375	Filing a submission after final rejection (37 CFR 1.129(a))
1810	750	2810	375	For each additional invention be examined (37 CFR 1.129(b))
1801	750	2801	375	Request for Continued Examination (RCE)
1802	900	1802	900	Request for expedited examination of a design application

\*Reduced by Basic Filing Fee Paid SUBTOTAL (3)

\$0

## SUBMITTED BY

Law Offices of Mark C. Pickering  
P.O. Box 300  
Petaluma, CA 94953-0300  
Telephone: (707) 762-5583  
Facsimile: (707) 762-5504  
Customer No. 33402

Date:

8-11-03

By:

Mark C. Pickering, Reg. No. 36,239



09/678,414

PATENT

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Patent Application of:  David W. Carlson  Appln. No.: 09/678,414  Filed: October 2, 2000  For: METHOD FOR PLANARIZING A THIN FILM	Group Art Unit: 2823  Examiner: B. Kebede  AMENDMENT UNDER 37 CFR §1.116, EXPEDITATED PROCEDURE REQUESTED
---	--

INTRODUCTORY COMMENTS

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

In response to the Official Action mailed June 9, 2003, please amend the above-identified application as follows:

RECEIVED  
AUG 19 2003  
TECHNOLOGY CENTER 2800

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service, postage prepaid, in an envelope, addressed to Mail Stop AF, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on 08-11-03.

Date: August 11, 2003 By: Debra L. King

08/15/2003 JADD01 00000056 09678414

01 FC:1201

168.00 OP

AMENDMENT UNDER 37 CFR §1.116  
IN RESPONSE TO  
(OFFICE ACTION DATED JUNE 9, 2003)

Atty. Docket No. 100-13601  
(P04797-C1)

AMENDMENTS TO THE CLAIMS

1. (Previously Amended) A method for forming a planarized layer of material on a processed wafer, the wafer having a top surface, the top surface having spaced-apart wafer upper levels and a wafer lower level that lies between the wafer upper levels, the wafer upper levels lying above the wafer lower level, the method comprising the steps of:  
forming a layer of first material on the top surface of the wafer, the layer of first material having a top surface, the top surface of the layer of first material having a first lower level and a first upper level that lies above the first lower level;  
forming a layer of second material on the top surface of the layer of first material; and  
chemically-mechanically polishing the layer of second material and the underlying layer of first material with a slurry until the layer of second material is substantially all removed from the layer of first material to form the planarized layer of material, the planarized layer of material lying over the wafer upper levels and the wafer lower level.
2. (Original) The method of claim 1 wherein the first lower level lies above the wafer upper level.
3. Cancelled.
4. Cancelled.
5. (Currently Amended) The method of claim 2 wherein the planarized layer of material has a first thickness over the wafer upper level, and  
wherein the layer of first material is formed such that the first lower level lies above the wafer upper level by a ~~value~~ second thickness that is equal to a greater than the first thickness.